

Dated: June 24, 2003

Signature: Lisa de Cordova  
(Lisa deCordova)

Docket No.: 63134/P013US/10301974  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Robert E. Sullivan, et al.

Application No.: Not Yet Assigned

Group Art Unit: N/A

Filed: June 24, 2003

Examiner: Not Yet Assigned

For: **SYSTEMS AND METHODS FOR  
TRANSACTION AND INFORMATION  
MANAGEMENT**

**INFORMATION DISCLOSURE STATEMENT (IDS)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR 1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement accompanies the new patent application submitted herewith.

A copy of each reference on PTO/SB/08 is attached.

A concise explanation of relevance of the items listed on form PTO/SB/08 is:

☒ not given

☐ given for each listed item

☐ given for only non-English language listed items

[ ] in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references

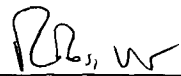
While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR 1.98 and the Examiner is respectfully requested to consider the listed references.

The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 06-2380, under Order No. 63134/P013US/10301974.

Dated: June 24, 2003

Respectfully submitted,

By   
R. Ross Viguet  
Registration No.: 42,203  
FULBRIGHT & JAWORSKI L.L.P.  
2200 Ross Avenue, Suite 2800  
Dallas, Texas 75201-2784  
(214) 855-8000  
(214) 855-8200 (Fax)  
Attorney for Applicant

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| Substitute for form 1449A/PTO  |   |    |   | <b>Complete if Known</b> |                       |
| <b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(use as many sheets as necessary)</i> |   |    |   | Application Number       | Not Yet Assigned      |
|  |   |    |   | Filing Date              | June 24, 2003         |
|  |   |    |   | First Named Inventor     | Robert E. Sullivan    |
|  |   |    |   | Art Unit                 | N/A                   |
|  |   |    |   | Examiner Name            | Not Yet Assigned      |
| Sheet  | 1 | of | 1 | Attorney Docket Number   | 63134/P013US/10301974 |

| U.S. PATENT DOCUMENTS |                          |  |                                |  |  |
|-----------------------|--------------------------|--|--------------------------------|--|--|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant<br>of Cited Document | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear |
|                       |                          | Number-Kind Code <sup>2</sup> (if known) |                                |  |  |
| /J.D./                | AA                       | US-5,345,501                             | 09-06-1994                     | Shelton  |  |
| /J.D./                | AB                       | US-5,485,507                             | 01-16-1996                     | Brown et al.                                       |  |

| FOREIGN PATENT DOCUMENTS |                          |   |                                |  |  |                |
|--------------------------|--------------------------|---|--------------------------------|--|--|----------------|
| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>6</sup> |
|                          |                          | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                |  |  |                |
|                          |                          |   |                                |  |  |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See attached Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

| NON PATENT LITERATURE DOCUMENTS |                          |  |                |
|---------------------------------|--------------------------|--|----------------|
| Examiner<br>Initials*           | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
| /J.D./                          | CA                       | Application No.: 10/135,878, John J. Viola, entitled "INFORMATION MANAGEMENT AND MOVEMENT SYSTEM AND METHOD," filed 4-29-2002.   |                |
| /J.D./                          | CB                       | Application No.: 10/135,883, Dick Falcone et al., entitled "OPTIMIZING PROFITABILITY IN BUSINESS TRANSACTIONS," filed 04-29-2002.  |                |
| /J.D./                          | CC                       | Application No.: 10/360,248, Richard Falcone et al., entitled "SYSTEMS AND METHODS FOR ACCOUNT ESTABLISHMENT AND TRANSACTION MANAGEMENT USING INTERRUPT MESSAGING," filed 02-07-2003.  |                |
| /J.D./                          | CD                       | Application No.: 10/360,442, Richard Falcone et al., entitled "SYSTEMS AND METHODS FOR TRANSACTION AUTHORIZATION DETERMINATION," filed 02-07-2003.   |                |

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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| /Jason Dunham/ | Date<br>Considered | 01/06/2009 |
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